

## SECTION 53—INFORMATION TECHNOLOGY AND E-GOVERNMENT

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Ex-53 Agency Information Technology (IT) Investment Portfolio

**Summary of Changes**

Added NEW “Major IT acquisition/investment” definition  
 Added NEW requirement for reporting of “Mode of Delivery” codes for investments  
 Removed “Total Investment” columns (DME/SS will be used to determine totals)  
 Added NEW “Project Management (PM) Qualifications Status”  
 Added NEW “Investment Certification and Accreditation (C&A) Status”

**53.1 Why must I report on information technology investments?**

The information required allows the agency and OMB to review and evaluate each agency's information technology (IT) spending and to compare IT spending across the Federal Government. Specifically the information helps the agency and OMB to:

- Ensure that initiatives create a citizen-centered electronic presence and advance an E-Government (E-Gov) strategy that includes specific outcomes to be achieved;
- Understand the amount being spent on development and modernization of IT versus the amount being spent on operating and maintaining the status quo for IT;
- Identify the funding sources for agency IT investments;
- Identify investments for IT security as part of agency life-cycle costs for specific investments and IT security that is crosscutting or infrastructure related under the Federal Information Security Management Act (FISMA);
- Provide a full and accurate accounting of IT investments for the agency as required by the Paperwork Reduction Act of 1995 and the Clinger-Cohen Act of 1996;
- Ensure that spending on IT supports agency compliance with the requirements of Section 508 of the Rehabilitation Act Amendments of 1998 (Electronic and Information Technology Accessibility) and Section 504 of the Rehabilitation Act of 1973 (Reasonable Accommodation);

- Identify spending and priorities consistent with agency Government Paperwork Elimination Act (GPEA) plans;
- Ensure compliance with E-Government Act of 2002 and that privacy is considered and protected in electronic activities;
- Identify investments that support Homeland Security goals and objectives;
- Review requests for agency financial management systems; and
- Prepare the Government-wide five-year plan required by the Chief Financial Officers (CFOs) Act of 1990.

You must provide this information using the Agency IT Investment Portfolio ([exhibit 53](#)) reporting format. This information should be consistent with information required in section 51.3. This format was developed jointly by OMB and the Chief Information Officers (CIO) Council and provides basic information your agency needs to link its internal planning, budgeting, acquisition, and management of IT resources [i.e., the capital planning and investment control (CPIC) process]. In addition, as an output of your agency's internal capital planning process, your budget justification for IT must provide results oriented information on IT operations and improvement initiatives in the context of the agency's missions and operations. Your budget justification, including the status and plans for information systems, should be consistent with your agency's submissions on financial management activities required by section [52](#) and the applicable guidance in [Part 7](#) (section 300) of this Circular.

The total investments costs must cover the life of each system and include all budgetary resources (direct appropriation, working capital fund, revolving funds, etc.). Budgetary resources are defined in section [20](#) of this circular. Life cycle costs should also be risk adjusted to include any risks addressed on the Capital Asset Plan and Business Case that have not been mitigated. Examples of areas that may cause the adjustment of life-cycle costs would be strategic risks, technological risks, human capital issues, acquisition strategy, IT security and privacy risks, enterprise architecture (EA), and any other issues identified on the capital asset plan. These total investment costs must be formulated and reported in order for OMB to meet the Clinger-Cohen Act's requirement that "at the same time that the President submits the budget for a fiscal year to Congress under section [1105\(a\) of title 31, United States Code](#), the Director shall submit to Congress a report on the net program performance benefits achieved as a result of major capital investments made by executive agencies in information systems and how the benefits relate to the accomplishment of the goals of the executive agencies.

### **53.2 How do I ensure that IT investments are linked to and support the President's Management Agenda?**

All IT investments must support the President's Management Agenda (PMA) and must clearly demonstrate that the investment is needed in order to close a specific performance gap in the agency's ability to meet strategic goals and missions. The President's Management Agenda scorecard items are:

- Human capital;
- Competitive sourcing;
- Financial performance;
- E-Government; and

- Budget and performance integration.

The President's Budget also defines guiding principles for the investments supporting the PMA. The principles OMB will use to implement the PMA and the supporting IT investments are to ensure that investments:

- Create a citizen centered, results oriented, and market based Government;
- Support homeland security, war on terrorism, and revitalizing the economy;
- Identify and manage corporate measures of success;
- Simplify and unify redundant activities, both within and across agencies;
- Where appropriate, investments are aligned with the Presidential Initiatives, identified at [www.egov.gov](http://www.egov.gov);
- Represent sound business cases that address overall solutions (human capital, competitive sourcing, financial performance, E-Gov, and budget and performance integration) as applicable; and
- Include strategic partnerships to perform business with state, local, other Federal agencies, non-profit organizations, and private industry as appropriate.

OMB will give priority consideration to IT investments leveraging technology purchases across multiple entities, ensure operational objectives are met, utilize technology that improves decision making, employ knowledge management tools, support the Federal Enterprise Architecture (FEA), and ensure systems and information are secure. For more information on the PMA refer to [www.results.gov](http://www.results.gov).

The governance processes required as attendant documents to this section (Agency Information Resource Management Strategic Plan, Documented CPIC process, and Agency EA) are used in connection with the capital asset plans and business cases (exhibit 300) and this "Agency IT Investment Portfolio" (exhibit 53) to demonstrate the agency management of IT investments and how these governance processes are used to make decisions about IT investments within the agency.

The individual agency's exhibit 53 is used to create an overall "Federal IT Investment Portfolio" published as part of the President's Budget. OMB's portfolio review and budget process will ensure IT investments support the strategy identified in this section and ensure the Federal IT Investment Portfolio includes the most effective portfolio of investments to:

- Simplify and integrate processes across redundant or duplicative programs to make it easier for citizens to get service;
- Directly improve the management of programs to achieve better program outcomes;
- Ensure sound security of Government information systems and appropriate protection of information held in those systems;
- Eliminate redundant or non productive IT investments;

- Bring successful e-business practices to Government administrative operations, such as effective procurement and human capital management strategies, including maximizing web-based architectures;
- Make appropriate use of technology components identified through the component based architecture work of OMB and CIO Council;
- Support the FEA;
- Support the Presidential Initiatives and E-Gov Strategy;
- Focus IT spending on high priority modernization initiatives;
- Have major IT investments that are within 10% of cost, schedule, and performance objectives;
- Have IT investments that are certified and accredited;
- Reflect the negotiated enterprise-wide software licenses; and

### 53.3 What special terms should I know?

***Federal Enterprise Architecture (FEA)*** is a business-based framework for government-wide improvement. It describes the relationship between business functions and the technologies and information that support them. The FEA is being constructed through a collection of interrelated “reference models” designed to facilitate cross-agency analysis and the identification of duplicative investments, gaps, and opportunities for collaboration within and across federal agencies. For FY 2007, major IT investments should be aligned with each reference model within the FEA framework, except for the Data Reference Model. The reference models are briefly described below. More information about the FEA reference models is available at [www.egov.gov](http://www.egov.gov).

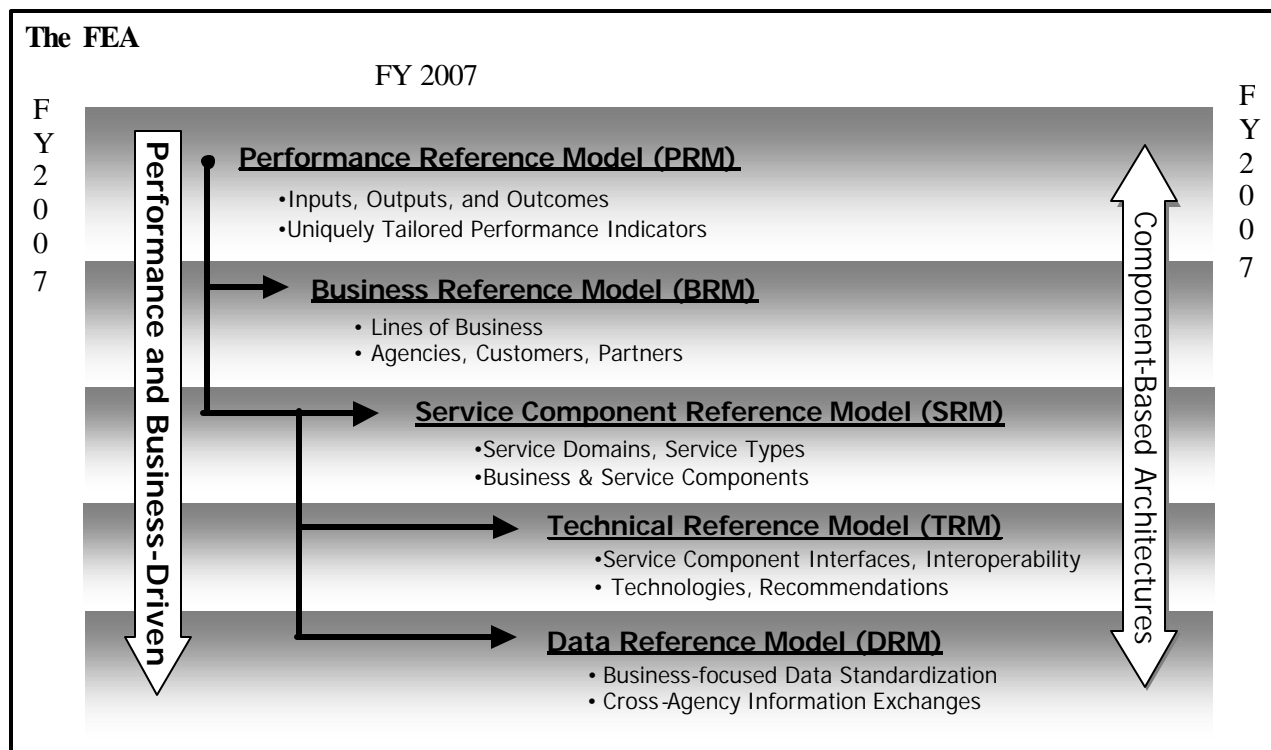
***Business Reference Model (BRM)*** is a function-driven framework to describe the Lines of Business and Sub-Functions performed by the Federal Government independent of the agencies that perform them. IT investments are mapped to the BRM to identify collaboration opportunities.

***Performance Reference Model (PRM)*** is a standardized performance measurement framework to characterize performance in a common manner where necessary. The PRM helps agencies produce enhanced performance information; improve the alignment and better articulate the contribution of inputs, such as technology, to outputs and outcomes; and identify improvement opportunities that span traditional organizational boundaries.

***Service Component Reference Model (SRM)*** is a common framework and vocabulary for characterizing the IT and business components that collectively comprise an IT investment. The SRM helps agencies rapidly assemble IT solutions through the sharing and re-use of business and IT components. A component is a self-contained process, service, or IT capability with pre-determined functionality that may be exposed through a business or technology interface.

***Technical Reference Model (TRM)*** is a foundation to describe the standards, specifications, and technologies supporting the delivery, exchange, and construction of business (or Service) components and E-Gov solutions. The TRM unifies existing agency TRMs and E-Gov guidance by providing a foundation to advance the re-use of technology and component services from a Government-wide perspective.

**Data Reference Model (DRM)** is a framework to promote the common identification, use, and appropriate sharing of data/information across the federal government. It provides standards and guidelines to help agencies structure, categorize, exchange, and manage their data to improve the ability of Government to perform cross-agency information sharing.



**Financial management systems** are financial systems and the financial portion of mixed systems (see definitions below) that support the interrelationships and interdependencies between budget, cost and management functions, and the information associated with business activities.

**Financial systems** are comprised of one or more applications that are used for any of the following:

- Collecting, processing, maintaining, transmitting, and reporting data about financial events;
- Supporting financial planning or budgeting activities;
- Accumulating and reporting cost information; or
- Supporting the preparation of financial statements.

A financial system supports the processes necessary to record the financial consequences of events that occur as a result of business activities. Such events include information related to the receipt of appropriations or resources; acquisition of goods or services; payment or collections; recognition of guarantees, benefits to be provided, or other potential liabilities or other reportable activities.

**Funding source** means the direct appropriation or other budgetary resources an agency receives. You need to identify the budget account and the budget authority provided. Report those budget accounts providing the financing for a particular investment. *To avoid double counting, do not report any accounts receiving intra-governmental payments to purchase IT investments or services as funding sources.*

**High Risk investments** requiring special attention from oversight authorities and the highest levels of agency management because: 1) the agency has not consistently demonstrated the ability to manage complex projects; 2) of the exceptionally high development, operating, or maintenance costs, either in absolute terms or as a percentage of the agency's total IT portfolio; 3) it is being undertaken to correct recognized deficiencies in the adequate performance of an essential mission program or function of the agency, a component of the agency, or another organization, or 4) delay or failure would introduce for the first time inadequate performance or failure of an essential mission program or function of the agency, a component of the agency, or another organization.

**Information Resource Management (IRM) Strategic Plan** is strategic in nature and addresses all information resources management of the agency. Agencies must develop and maintain the agency's IRM Strategic Plan as required by [44 U.S.C. 3506\(b\)](#) (2). IRM Strategic Plans should support the agency's Strategic Plan required in OMB Circular A-11, provide a description of how information resources management activities help accomplish agency missions, and ensure IRM decisions are integrated with organizational planning, budget, procurement, financial management, human resources management, and program decisions.

**Information system** means a discrete set of information technology, data, and related resources, such as personnel, hardware, software, and associated information technology services organized for the collection, processing, maintenance, use, sharing, dissemination or disposition of information.

**Information technology**, as defined by the Clinger-Cohen Act of 1996, sections 5002, 5141, and 5142, means any equipment or interconnected system or subsystem of equipment is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. For purposes of this definition, equipment is "used" by an agency whether the agency uses the equipment directly or it is used by a contractor under a contract with the agency that (1) requires the use of such equipment or (2) requires the use, to a significant extent, of such equipment in the performance of a service or the furnishing of a product. Information technology includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. It does not include any equipment acquired by a Federal contractor incidental to a Federal contract.

**Major IT acquisition/investment** means a system or project requiring special management attention because of its importance to the mission or function of the agency, a component of the agency or another organization; is for financial management and obligates more than \$500,000 annually; has significant program or policy implications; has high executive visibility; has high development, operating, or maintenance costs; or is defined as major by the agency's capital planning and investment control process. OMB may work with the agency to declare other investments as major investments. If you are unsure about what investments to consider as "major," consult your agency budget officer or OMB representative. Investments not considered "major" are "non-major."

**Mixed system** means an information system that supports both financial and non-financial functions of the Federal Government or components thereof.

**New IT Investment** means an IT investment newly proposed by the agency and has not been previously funded by OMB. This does not include investments existing within the agency but have not previously been reported to OMB.

**Non-financial system** means a system supporting management functions of the Federal Government or components thereof and does not record financial events or report financial information.

**IT Migration investment** means the partner agency's migration costs associated with moving an existing investment to a government-wide common solution.

**Partner agency funding contribution** means the partner agency's resource contributions (e.g., funding, FTEs, in-kind) in support of a joint effort. These contributions provided the resource to the management, development, deployment, or maintenance of a common solution.

**Non-major IT Investment** means any initiative or investment not meeting the definition of major defined above but is part of the agency's IT Portfolio. All non-major investments must be reported individually on the exhibit 53.

**On-Going IT Investment** means an investment that has been through a complete budget cycle with OMB and represents budget decisions consistent with the President's Budget for the current year (BY-1).

**Privacy impact assessment (PIA)** means a process for examining the risks and ramifications of collecting, maintaining and disseminating information in identifiable form in an electronic information system, and for identifying and evaluating protections and alternative processes to mitigate the impact to privacy of collecting information in identifiable form. Consistent with September 26<sup>th</sup>, 2003 OMB guidance (M-03-22) implementing the privacy provisions of the E-Government Act, agencies must conduct privacy impact assessments for all new or significantly altered information technology investments administering information in identifiable form collected from or about members of the public. Agencies may choose whether to conduct privacy impact assessments for information technology investments administering information in identifiable form collected from or about agency employees.

#### **53.4 How do I determine whether I must report?**

Submit an agency IT investment portfolio (exhibit 53) to OMB if either of the following are true:

- You are a government agency subject to Executive branch review.
- Your financial management system budgetary resources are above \$500,000 in any given year.

#### **53.5 How do I submit exhibit 53 and when is it due?**

Section 53 requires the submission of the exhibit 53 and several attendant documents. OMB Circular A-130, "Management of Federal Information Resources", requires that the agency's budget submissions include:

- Agency IRM Strategic Plan;
- Documented CPIC process; and
- Agency EA

**Initial draft of exhibit 53.** In order for OMB and the agency to agree on what major investments and non-major investments will be reported for the 2007 process, OMB will be working with agencies to create initial draft exhibit 53s during the Summer of 2005. These initial drafts should include several of the columns from the exhibit 53 format but not all of them. OMB will work with the individual agencies to determine when the initial draft exhibit 53 is due to OMB. Draft exhibit 53 should at a minimum include the unique IDs, investment title, and investment description. This draft exhibit 53 will be used to determine what should be reported as major investments thereby providing business cases in the 2007 Budget.

You must submit [exhibit 53](#) in an electronic format by e-mailing a spreadsheet version of exhibit 53 to [exhibit53@omb.eop.gov](mailto:exhibit53@omb.eop.gov). The subject line of the e-mail must have the three digit OMB agency code (see [Appendix C](#)) and the full agency name. The PIA's must be submitted separately to [PIA@omb.eop.gov](mailto:PIA@omb.eop.gov) and identified using the investment's unique project identifier. The attendant documents must all be submitted electronically in whatever format the agency used to create the documents. All of these items will be assessed as part of the budget process and information provided to the agency via passback.

Your exhibit 53 and the attendant documents (including the PIA) are due to OMB with the budget submission in a manner that is fully integrated with your agency's overall budget submission (see [section 25.4](#)). In addition, you must update each exhibit 53 and the accompanying Capital Asset Plans and Business Cases (exhibit 300) to reflect any changes due to final budget decisions.

### **53.6 If I submitted exhibit 53 last year, how do I revise it this year?**

If your agency provided an exhibit 53 for the 2006 Budget, the file should be updated to reflect the new column headings in the 2007 reporting requirements. It is important you ensure the file is updated to reflect PY for FY 2005, CY for FY 2006, and BY for FY 2007. The exhibit 53 will also need to be updated to add the "Mode of Delivery" codes, "Project Management Qualification Status," and "Investment C&A Status."

### **53.7 How is exhibit 53 organized?**

(a) Overview.

As a general rule, exhibit 53 covers IT investments for your agency as a whole. Provide investment amounts in millions (to at least one decimal points) for PY through BY. Information reported here must be consistent with data you report in MAX schedule O, object classification (specifically, object classes 11.1 through 12.2, 23.1, 23.2, 25.2, 25.3, 25.7, 26.0, 31.0, and 41.0). Include all major IT investments, including financial management systems, reported in exhibit 300.

Exhibit 53 has four major parts:

- Part 1. IT investments by mission area.
- Part 2. IT infrastructure and office automation.
- Part 3. Enterprise architecture and planning.
- Part 4. Grants management.

All parts use the following common data elements:

- **2006 Unique Project Identifier (UPI)** means the Unique Project Identifier used to report the investment during the 2006 Budget. As agencies mature their capital planning processes and investments are aligned to the FEA, there will be required changes in the Unique Project Identifiers. Indicating the UPI used for the 2006 Budget process allows cross-walk and historical analysis crossing fiscal years for tracking purposes.
- **2007 UPI** means an identifier that depicts agency code, bureau code, mission area (where appropriate), part of the exhibit where investment will be reported, type of investment, agency four-digit identifier, year the investment entered the budget, and mapping to the FEA BRM. Details are provided in [section 53.8](#).
- **Investment title** means a definitive title explaining what the investment is entitled.



- **Investment description** means a short description for each investment (major and non-major). This description should explain the entry item, its components, and what program(s) it supports. This description should be understandable to someone who is not an expert of the agency. If the investment is part of a multi-agency initiative or part of another business case, please provide description of where that business case is located in the appropriate agency budget submission. For example, if the investment represents your agency's participation in one of the Presidential Initiatives, the description should state that this investment represents your agency's participation in one of the Presidential Initiatives and should refer to the UPI of the managing partner's business case.
- **Mode of Delivery (LoB)** means the 3-digit LoB code for the “Mode of Delivery” LoB describing the function of this investment. If this investment’s primary BRM mapping is to a “Services for Citizens” Business Area, then it should have a non-primary mapping to a “Mode of Delivery” LoB. If the investment’s primary mapping is not to a “Services for Citizens” Business Area, then this field can be left blank if this is not applicable.
- **Mode of Delivery (Sub-Function)** means the 3-digit Sub-function code for the Sub-function under the “Mode of Delivery” LoB designated in the previous column describing the function of this investment. If this investment’s primary BRM mapping is to a “Services for Citizens” Business Area, then it should have a non-primary mapping to a “Mode of Delivery” LoB. If the investment’s primary mapping is not to a “Services for Citizens” Business Area, then this field can be left blank if this is not applicable.
- **Percentage financial** means an estimated percentage of the total IT investment budget authority associated with the financial components. See the financial system definition for a description of financial functions.
- **Percentage IT security** means an estimated percentage of the total investment for budget year associated with IT security for a specific investment. Federal agencies must consider the following criteria to determine security costs for a specific IT investment:
  1. The products, procedures, and personnel (Federal employees and contractors) that are primarily dedicated to or used for provision of IT security for the specific IT investment. Do not include activities performed or funded by the agency's Inspector General. This includes the costs of:
    - Risk assessment;
    - Security planning and policy;
    - Certification and Accreditation (C&A);
    - Specific management, operational, and technical security controls (to include access control systems as well as telecommunications and network security);
    - Authentication or cryptographic applications;
    - Education, awareness, and training;
    - System reviews/evaluations (including security control testing and evaluation);

- Oversight or compliance inspections;
  - Development and maintenance of agency reports to OMB and corrective action plans as they pertain to the specific investment;
  - Contingency planning and testing;
  - Physical and environmental controls for hardware and software;
  - Auditing and monitoring;
  - Computer security investigations and forensics; and
  - Reviews, inspections, audits and other evaluations performed on contractor facilities and operations.
2. Other than those costs included above, security costs may also include the products, procedures, and personnel (Federal employees and contractors) that have as an incidental or integral component, a quantifiable benefit to IT security for the specific IT investment. This includes system configuration/change management control, personnel security, physical security, operations security, privacy training, program/system evaluations whose primary purpose is other than security, systems administrator functions, and, for example, system upgrades within which new features obviate the need for other standalone security controls.
3. Many agencies operate networks, which provide some or all necessary security controls for the associated applications. In such cases, the agency must nevertheless account for security costs for each of the application investments. To avoid double counting agencies should appropriately allocate the costs of the network for each of the applications for which security is provided.

In identifying security costs, some agencies find it helpful to ask the following simple question, "If there was no threat, vulnerability, risk, or need to provide for continuity of operations, what activities would not be necessary and what costs would be avoided?" Investments that fail to report security costs will not be funded. Therefore, if the agency encounters difficulties with the above criteria they must contact OMB prior to submission of the budget materials.

- ***Supports Homeland Security*** means an IT investment supporting the homeland security mission areas of 1) Intelligence and Warning, 2) Border and Transportation Security, 3) Defending Against Catastrophic Threats, 4) Protecting Critical Infrastructure and Key Assets, 5) Emergency Preparedness and Response, 6) Other. If the investment supports one of these mission areas, indicate which one(s) by listing the corresponding number(s) listed above. If the investment does not support homeland security, please leave blank.
- ***Development/modernization/enhancement (DME)*** means the program cost for new investments, changes or modifications to existing systems to improve capability or performance, changes mandated by the Congress or agency leadership, personnel costs for project (investment) management, and direct support. For Major IT Investments, this amount should equal the sum of amounts reported for planning and acquisition in the exhibit 300.
- ***Steady state (SS)*** means maintenance and operation costs at current capability and performance level including costs for personnel, maintenance of existing information systems, corrective

software maintenance, voice and data communications maintenance, and replacement of broken IT equipment. For Major IT Investments, this amount should equal the amount reported for maintenance in the exhibit 300.

- ***Investment C&A Status*** means the current C&A status of the Investment's system(s):
  - (00) - Systems within this investment have not been through the C&A process because the investment is not yet operational;
  - (02) - None of the systems have gone through the C&A process or have been granted Full Authority to Operate (for operational investments);
  - (22) - Some or all of the systems within this investment have been through a C&A Process, but no systems have been granted Full Authority to Operate;
  - (25) - Some or all of the systems within this investment have been through a C&A Process, some systems have been granted Full Authority to Operate;
  - (55) - All of the systems within this investment have been through a C&A Process and have been granted Full Authority to Operate
- ***Project Management Qualification Status*** means the qualification status of the investment's project manager (PM), as issued in OMB PM Guidance. The following options are available:
  - (1) - The project manager assigned for this investment has been validated as qualified in accordance with OMB PM Guidance.
  - (2) - The project manager assigned for this investment is in the process of being validated as qualified in accordance with OMB PM Guidance.
  - (3) - The project manager assigned for this investment is not validated as qualified in accordance with OMB PM Guidance.
  - (4) - The qualifications for the project manager named have not been evaluated.
  - (5) - No project manager is currently assigned for this investment.
  - (6) - N/A -- This is not an IT investment
- ***Funding source*** means any budgetary resource used for funding the IT Investment. Budgetary resource is defined in section 20. For each funding source, identify the budgetary resources (direct appropriation or other specific budgetary resources such as working capital funds, revolving funds, user fees, etc) for a project or investment. Identify the budget account and organization or operating division. Add as many funding source line items as are appropriate for the investment or project. To avoid double counting, do not report any accounts receiving intra-governmental payments to purchase IT investments or services.
- ***Funding source subtotal*** means the totals of all funding sources used for funding the IT Investment.

(b) Part 1. IT investments by mission area.

Consistent with your agency's strategic and annual performance plan, report amounts for IT investments that directly support an agency-designated mission area (e.g., human resource management, financial management, command and control). Report each mission area in which IT investments are funded, itemizing the "major" and "non-major" IT investments within each mission area.

You must have a mission area titled "Financial Management", and it must be reported as the first mission area. Some IT investments support financial functions in addition to other functions. If an IT investment supports financial functions, you must include an estimated percentage of the total IT investment obligations associated with the financial components. See the financial system definition for a description of financial functions. Systems predominately supporting financial functions should be included in the first mission area, "Financial Management". If the IT investment reported is "100" percent financial,

indicate “100” percent in the column. For mixed systems or investments, indicate the appropriate percentage that is financial. For those investments that are fully non-financial, enter zero.

(c) Part 2. IT infrastructure and office automation.

Report all IT investments that support common user systems, communications, and computing infrastructure. These investments usually involve multiple mission areas and might include general LAN/WAN, desktops, data centers, cross-cutting issues such as shared IT security initiatives, and telecommunications. Report your IT security initiatives and investments that are not directly tied to a major investment on a separate line identified as "non-major."

(d) Part 3. Enterprise architecture and planning.

Report amounts for IT investments that support strategic management of IT operations (e.g., business process redesign efforts that are not part of an individual investment or initiative, enterprise architecture development, capital planning and investment control processes, procurement management, and IT policy development and implementation).

(e) Part 4. Grants management.

Report amounts for IT investments that represent planning, developing, enhancing or implementing a grants management system or portion thereof. Highlight any grants systems initiatives as defined by this section. To highlight a system, which is not defined as major/critical, agencies should identify the grants system as non-major.

### 53.8 How is exhibit 53 coded?

Use the following 23 digit line number coding system to update or complete your exhibit 53:

Entry	Description
XXX-xx-xx-xx-xx-xxxx-xx- xxx-xxx	The first three digits are your agency code (see <a href="#">Appendix C</a> ).
xxx-XX-xx-xx-xx-xxxx-xx- xxx-xxx	The next two digits are your bureau code (see <a href="#">Appendix C</a> ). If this is a department only reporting, use 00 as your bureau code.
xxx-xx-XX-xx-xx-xxxx-xx- xxx-xxx	These two digits indicate the four parts of exhibit 53: 01 = Part 1. IT Investments by Mission Area 02 = Part 2. IT Investments for Infrastructure, Office Automation, and Telecommunications 03 = Part 3. IT Investments for Enterprise Architecture and Planning 04 = Part 4. IT Investments for Grants Management Systems
xxx-xx-xx-XX-xx-xxxx-xx- xxx-xxx	These two digits indicate the mission area. Assign a unique code for each mission area reported.

Entry	Description
xxx-xx-xx-xx-XX-xxxx-xx- xxx-xxx	<p>These two digits indicate your agency's type of investment. Select one of the following two digit codes according to the type of investment you are reporting:</p> <p>01 = Major IT investments (see definition in section <a href="#">53.3</a>)</p> <p>02 = Non-major IT investments (see definition in section <a href="#">53.3</a>)</p> <p>03= IT migration investment portion of a larger asset and for which there is an existing business case for the overall asset. Description of the IT investment should indicate the UPI of the major asset investment of the managing partner.</p> <p>04 = Partner agency funding contribution represents resources provided by partner agency for a joint effort for more than one agency. Use the 04 indicator to identify projects where the business case for the major IT investment is reported in another agency's exhibit 53. Description of the IT investment should indicate the UPI of the major asset investment of the managing partner.</p>
xxx-xx-xx-xx-xx-XXXX-xx- xxx-xxx	<p>This is a four-digit identification number to identify a specific IT investment. If a new investment is added to exhibit 53, locate the area of exhibit 53 where you are going to report the IT investment and use the next sequential number as your four digit identification number.</p>
xxx-xx-xx-xx-xx-xxxx-XX- xxx-xxx	<p>These two digits identify which part of the investment you are reporting. Select one of the following two digit codes according to what you report on the title line:</p> <p>00 = Total investment title line, or the first time the agency is reporting this particular investment. If this is one of the PMC E-Gov initiatives or an individual agency's participation in one of the PMC E-Gov initiatives, this two-digit code should be "24".</p> <p>04 = Funding source or appropriation</p> <p>09 = Any subtotal</p>
xxx-xx-xx-xx-xx-xxx-xx- XXX-xxx	<p>These three digits identify the <i>primary</i> Business Area and Line of Business from the FEA BRM that this major or non-major IT investment supports (major systems also must identify non-primary BRM mappings in Section 300 part II)..</p> <p>1XX: Primary mapping to the Services for Citizen layer</p> <p>3XX: Primary mapping to the Support Delivery of Services layer</p> <p>4XX: Primary mapping to the Management of Government Resources layer</p> <p>Business Area and Line of Business codes can be found at <a href="http://www.egov.gov">www.egov.gov</a>.</p>

Entry	Description
XXX-XX-XX-XX-XX-XX-XX-XXX-XXX	The final three digits identify the <i>primary</i> Sub-Function under the BRM Line of Business identified earlier describing the function this major or non-major IT investment supports (major systems also must identify non-primary BRM mappings in Section 300 part II). Note: For the FY 2007 budget formulation process, there are changes to the BRM Sub-functions. Refer to the BRM information on <a href="http://www.egov.gov">www.egov.gov</a> for the current BRM definitions and codes.

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### 53.9 What are the steps to complete exhibit 53?

The following provides step-by-step instructions to complete each part of exhibit 53. See section [53.3](#) and [53.7](#) for definitions.

#### AGENCY IT INVESTMENT PORTFOLIO

Entry	Description
Part 1. IT Investments by Mission Area	<p>Report amounts (DME &amp; SS) for IT investments that directly support an agency-designated mission area. Report each mission area in which IT investments are funded. This information should map directly to your agency's strategic and annual performance plan. For IT investments that cover more than one agency, report in the mission area with oversight of the IT investment. Mission area 01 is reserved for your "financial management" IT investments.</p> <p>Step 1: For each mission area, list each major IT investment and the corresponding investment costs. For BY only, if financial or mixed, identify what percentage is financial. For BY only, if IT security costs are included, identify what percentage of the total investment is IT security. If this IT investment supports Homeland Security (HS) goals and objectives (see section <a href="#">53.7</a>) provide the number for the HS mission area.</p> <p>Step 2: For each mission area, list each non-major investment. If either of these has financial, mixed, or IT security, identify the appropriate percentages. If this system or investment supports Homeland Security goals and objectives (see section <a href="#">53.7</a>), answer yes.</p>
Part 2. IT Infrastructure and Office Automation	Each agency should have one business case (exhibit 300) that covers all office automation, infrastructure, and telecommunications for the agency. This section of the exhibit 53 should have one line item indicating the major investment Unique ID for this departmental/agency-wide investment. If you are unsure what investments should be included in this area contact your OMB representative for clarification.

Entry	Description
Part 3. Enterprise Architecture and Planning	Each agency should list all enterprise architecture efforts. For FY 2007, enterprise architecture investments are not categorized as major investments, and an exhibit 300 is not required for them. Any capital planning and investment control process investments may be reported separately in this section. However, agencies should ensure the investments' UPI codes have the correct BRM primary mapping in order to clearly distinguish the EA investments from other planning investments (e.g., EA investments should be mapped to the "Enterprise Architecture" Sub-function in the BRM).
Part 4. Grants Management	Report amounts (DME & SS) for IT investments that support grants management operations.  See classification instructions in section <a href="#">53.7</a> under Grants Management.

These columns are required for the 2007 exhibit 53, Agency IT Investment Portfolio:

- Column 1: 2006 UPI
- Column 2: 2007 UPI (23-digits required for all)
- Column 3: Investment Title
- Column 4: Investment Description (limited to 255 characters)
- Column 5: Mode of Delivery (LoB) (3 digit code)
- Column 6: Mode of Delivery (Sub-function) (3 digit code)
- Column 7: Financial Percentage (%)
- Column 8: IT Security (%)
- Column 9: Homeland Security Priority Identifier (select all that apply)
- Column 10: Development, Modernization, Enhancement (DME) (PY/2005) (\$M)
- Column 11: Development, Modernization, Enhancement (DME) (CY/2006) (\$M)
- Column 12: Development, Modernization, Enhancement (DME) (BY/2007) (\$M)
- Column 13: Steady State (SS) (PY/2005) (\$M)
- Column 14: Steady State (SS) (CY/2006) (\$M)
- Column 15: Steady State (SS) (BY/2007) (\$M)
- Column 16: Investment C&A Status (00,02,22,25,55)
- Column 17: Project Management Qualification Status (1, 2, 3, 4, 5, 6)

## Sample Exhibit 53

## Agency IT Investment Portfolio

FY2007 Budget Exhibit 53 - Agency

2006 UPI	2007 UPI (23-digits required for all)	Investment Title	Investment Description (limited to 255 characters)	Mode of Delivery (LoB) (3 digit code)	Mode of Delivery (sub- function) (3 digit code)	Percentage (%)		Homeland Security	DME (\$M)			Steady State (\$M)			Investment C&A Status (00,02,22,25 ,55)	Project Management Status (1, 2, 3, 4, 5, 6)
						Financial	IT Security		PY	CY	BY	PY	CY	BY		
		<b>Agency Total IT Investment Portfolio</b>							17.27	19.25	\$207.861	13.10	15.7	\$119.111		
		<b>Part 1. IT Systems by Mission Area</b>							13.82	13.9	\$101.511	6.7	8.3	11.711		
		01 - Title of mission area (financial first)							12.77	12.75	\$100.361	5.6	7.2	10.611		
123-45-01-01-1010-00-101-001		Major IT investment title	Description for investment	XXX	XXX	x	x	1,2,3,4,5,6	2	2	2	2	2	2	55	1
		Funding Source 1												0		
		Funding Source 2												0		
		Funding Source Subtotal												0		
123-45-01-01-1020-00-104-008		Major IT investment title 2	Description for investment	XXX	XXX	x	x	1,2,3,4,5,6	5.21	5.2	49	1.6	2.4	4.111	55	1
		Funding Source 1												0		
		Funding Source 2												0		
		Funding Source 3												0		
		Funding Source Subtotal												0		
123-45-01-01-1020-00-104-008		Major IT investment title 2	Description for investment	XXX	XXX	x	x	1,2,3,4,5,6	5.21	5.2	49	1.6	2.4	4.1	55	1
		Funding Source 1												0		
		Funding Source 2												0		
		Funding Source 3												0		
		Funding Source Subtotal												0		
123-45-01-01-02-1030-00-304-103		Non-Major IT investment title	Description for investment	XXX	XXX	x	x	1,2,3,4,5,6	0.15	0.15	0.15	0.1	0.1	0.1	55	1
123-45-01-01-03-1040-00-101-001		Migration investment title	Description for investment (include UPI of the common solution investment)	XXX	XXX	x	x	1,2,3,4,5,6	0.1	0.1	0.111	0.15	0.15	0.15		2
		Partner agency funding contribution	Description for investment (include UPI of the common solution investment)	XXX	XXX	x	x	1,2,3,4,5,6	0.1	0.1	0.1	0.15	0.15	0.15		6
		02 - Title of mission area							1.15	1.15	1.15	1.1	1.1	1.1		
123-45-01-02-01-1010-00-204-079		Major IT investment title	Description for investment	XXX	XXX	x	x	1,2,3,4,5,6	1	1	1	1	1	1	55	1
		Funding Source Name(s)												0		
		Funding Source Subtotal												0		
123-45-01-02-02-1020-00-304-103		Non-Major IT investment title	Description for investment	XXX	XXX	x	x	1,2,3,4,5,6	0.15	0.15	0.15	0.1	0.1	0.1	25	1
		Part 2. IT Infrastructure and Office							1.1	1.1	100.1	1.15	1.15	100.15		
		Major IT consolidated infrastructure investment title	Description for investment	XXX	XXX	x	x	1,2,3,4,5,6	0	0	100	0	0	100	55	1
		Funding Source Name(s)												0		
		Funding Source Subtotal												0		
123-45-02-00-01-1010-00-204-079		Major IT investment title	Description for investment	XXX	XXX	x	x	1,2,3,4,5,6	1	1	0	1	1	0	55	1
		Funding Source Name(s)												0		
		Funding Source Subtotal												0		
123-45-02-00-02-1020-00-304-103		Non-Major IT investment title	Description for investment	XXX	XXX	x	x	1,2,3,4,5,6	0.1	0.1	0.1	0.15	0.15	0.15	55	3
		Part 3. Enterprise Architecture & Planning							2.25	4.25	6.25	1	2	3		
123-45-03-00-01-1010-00-405-152		Major IT investment title	Description for investment	XXX	XXX	x	x	1,2,3,4,5,6	2	4	6	1	2	3	55	1
		Funding Source Name(s)												0		
		Funding Source Subtotal												0		
123-45-03-00-02-1020-00-304-103		Non-Major IT investment title	Description for investment	XXX	XXX	x	x	1,2,3,4,5,6	0.25	0.25	0.25	0	0	0	55	4
		Part 4. Grants Management							0	0	0	2.25	2.25	2.25		
123-45-04-00-01-1010-00-204-079		Major IT investment title	Description for investment	XXX	XXX	x	x	1,2,3,4,5,6	0	0	0	2	2	2	55	1
		Funding Source Name(s)												0		
		Funding Source Subtotal												0		
123-45-04-00-02-1020-00-304-103		Non-Major IT investment title	Description for investment	XXX	XXX	x	x	1,2,3,4,5,6	0	0	0	0.25	0.25	0.25	55	5
		Part 5. IT Grants to State and Locals (optional)							0	0	0	2	2	2		
123-45-05-00-01-1010-00-204-079		IT Grant investment title	Description for investment	XXX	XXX	x	x	1,2,3,4,5,6	0	0	0	2	2	2	55	1
		Funding Source Name(s)												0		6
		Funding Source Subtotal												0		6